

Exhibit A

Alexander G. Scoufis

FINRA | 1735 K Street, NW | Washington, D.C. 20006 | (202) 728-8859 | alexander.scoufis@finra.org

EXPERIENCE

FINRA

Washington, D.C.

Counsel, Criminal Prosecution Assistance Group

December 2016 – Present

- Provide substantial assistance to law enforcement and prosecutors enforcing securities laws
- Interpret and explain federal securities laws and FINRA rules to law enforcement and prosecutors
- Provide detailed analysis of financial records
- Create and prepare trial exhibits
- Testify as an expert or summary witness in federal criminal trials
- Attend and present at financial fraud conferences, roundtables, and working group meetings

Investigator, Office of Fraud Detection and Market Intelligence

May 2015 – December 2016

- Developed evidence to produce written reports detailing potential insider trading violations for the SEC or FINRA Legal
- Analyzed large quantities of trade data and market factors to determine whether potential insider trading violations occurred under SEC and FINRA rules
- Conducted interviews of registered representatives and requested and reviewed documents and email production from financial firms
- Requested and reviewed background information related to public news announcements from FINRA member firms and NYSE and Nasdaq listed companies
- Mentored and trained new analysts on investigative tools and techniques

Legal Intern, Office of General Counsel, Criminal Prosecution Assistance Group Fall 2014 – Spring 2015

- Assisted law enforcement and prosecutors enforcing securities laws by analyzing trade data and performing legal research and writing
- Prepared charts and potential trial exhibits

U.S. SECURITIES AND EXCHANGE COMMISSION

Denver, CO and Washington, D.C.

Honors Legal Intern, Division of Enforcement

Summer 2014

- Assisted investigations into potential auditor fraud by researching and summarizing past administrative law decisions
- Conducted legal research and drafted a memoranda on “advice of a professional” defense

Honors Legal Intern, Division of Enforcement

Spring 2014

- Conducted legal research and drafted memoranda regarding Rule 10b-5 violations
- Analyzed contracts between broker-dealers and their clients

OTTERBOX

Fort Collins, CO

Legal Intern

Summer 2013

- Provided in-house legal services to the leading seller of smart phone cases
- Assisted in developing and implementing an FCPA compliance program

EDUCATION

THE GEORGE WASHINGTON UNIVERSITY LAW SCHOOL

Washington, DC

Juris Doctor, *with honors*

May 2015

- Relevant Coursework: Securities Regulation ('33 Act and '34 Act), Regulation of Mutual Funds (Investment Company Act of 1940 and Investment Advisers Act of 1940), Banking Law, Regulation of Derivatives, Corporate Finance, Corporations, and Administrative Law

COLORADO STATE UNIVERSITY

Fort Collins, CO

Bachelor of Arts, *cum laude*, in Political Science; minor in Economics

May 2012

Licenses and Certifications

- Admitted to practice law in Maryland
- Certified Regulatory and Compliance Professional (CRCP)